OIPE JC181 MAR 2 2001 PATENT & TRADEMARK OFFICE

03/29/01 JC105 U.S. PTO

3879-IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

03-30-01

0350

In re Patent Application of: MILLS et al.

Our Ref.: P/3879-12

Date: March 29, 2001

Serial No.: **09/603,515**

Group Art Unit: --

#7

RWB

8-29-01

Filed: 6/23/00

Examiner: --

For: CREDIT HANDLING IN AN ANONYMOUS TRADING SYSTEM

Assistant Commissioner of Patents
Washington, D.C. 20231

SUBMISSION

Sir:

☒	Submitted herewith is a copy of art together with an art listing form listing the same for the convenience of the Examiner.
☐	The document(s) listed on the attached art listing form was/were cited in a Search Report issued by a foreign patent office in a related application. A copy of the Search Report (in the English language) is attached hereto for the Examiner's reference.
☐	The Japanese Publication(s) listed on the attached art listing form was/were cited in a Japanese Office Action issued in a related application. A copy of the Japanese Office Action and an English-language translation of the relevant portions are also attached.
☐	This submission is being made after the issuance of a first Office Action and three months after the application filing date. Thus a Certification Under 37 C.F.R. §1.97(e) is set forth below.
☐	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than three (3) months prior to the filing of this Submission (37 C.F.R. §1.97(e)).
☐	I hereby certify that each item of information contained in this Submission was cited in a communication from a foreign patent office in a counterpart foreign application not more than thirty (30) days prior to the filing of this Submission (37 C.F.R. §1.97(e)).
☐	This submission is being made after the issuance of the first Office Action and without a certification. The fee of $180.00 under 37 C.F.R. §1.17(p) is attached.
☐	This submission is being made after the issuance of a final rejection or a Notice of Allowance but prior to the payment of the issue fee. Applicant(s) hereby attach the fee of $180.00 under 37 C.F.R. §1.17(I). A certification under 37 C.F.R. §1.97(e) is set forth above.

EXPRESS MAIL CERTIFICATE

I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (mail label #EL613109277US) in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231-9999, on March 29, 2001:

Dorothy Jenkins
Name of Person Mailing Correspondence

Dorothy Jenkins
Signature

March 29, 2001
Date of Signature

Respectfully submitted,

Max Moskowitz
Registration No.: 30,576
OSTROLENK, FABER, GERB & SOFFEN, LLP
1180 Avenue of the Americas
New York, New York 10036-8403
Telephone: (212) 382-0700

SIW/MM:sks/Enclosure PTO-1449 (with 100 references total)

00501503.1

OIPE JC181 MAR 3 1 2001 PATENT & TRADEMARK OFFICE

APPLICANT'S ART CITATION

(Use several sheets if necessary)

Application 09/603,515 | OFGS File No. P/3879-12

Applicant MILLS et al.

Filing Date 6/23/00 | Group Art Unit --

U.S. PATENT DOCUMENTS

Examiner Initials	Document Number	Date	Name	Class	Sub-class	Filing Date If Appropriate
AL	4,388,489	6/1983	WIGAN et al.			
	4,531,184	7/1985	WIGAN et al.			
	5,003,473	3/1991	RICHARDS			
	5,267,148	11/1993	KOSAKA et al.			
	5,864,827	1/1999	WILSON			
	5,890,140	3/1999	CLARK et al.			
	5,915,209	6/1999	LAWRENCE			
	5,809,483	9/1998	BROKA et al.			
	5,710,889	1/1998	CLARK et al.			
	5,870,740	2/1999	CURTIS			
	5,815,156	9/1998	TEPER et al.			
	5,557,780	9/1996	EDWARDS et al.			
	5,909,504	6/1999	FRESE, II et al.			
	4,525,779	6/1985	DAVIDS et al.			
	4,553,185	11/1985	BALDRY et al.			
	5,031,691	7/1991	ORDISH			
	5,191,503	3/1993	ORDISH			
	3,823,473	7/1974	McCLELLAN			
	4,551,844	11/1985	TOY			
V	4,586,708	7/1986	DeFRANCESCO et al.			

Examiner [signature] | Date Considered 11/21/02

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

OIPE
MAR 3 0 2001
PATENT & TRADEMARK OFFICE

APPLICANT'S ART CITATION (Use several sheets if necessary)	Application 09/603,515	OFGS File No. P/3879-12
	Applicant MILLS et al.	
	Filing Date 6/23/00	Group Art Unit --

U.S. PATENT DOCUMENTS

Examiner Initials	Document Number	Date	Name	Class	Sub-class	Filing Date If Appropriate
AK	4 6 2 3 9 6 4	11/1986	GETZ et al.			
	4 7 5 0 1 3 5	6/1988	BOILEN			
	4 8 1 5 0 3 0	3/1989	CROSS et al.			
	5 2 3 0 0 4 8	7/1993	MOY			
	5 9 6 6 5 3 1	10/1999	SKEEN et al.			
	5 9 2 4 0 8 2	7/1999	SILVERMAN et al.			
	5 7 2 7 1 6 5	3/1998	ORDISH et al.			
	5 0 7 7 6 6 5	12/1991	SILVERMAN et al.			
	5 6 1 5 2 6 9	3/1997	MICALI			
	5 9 0 5 9 7 4	5/1999	FRASER et al.			
	5 5 0 8 9 1 3	4/1996	YAMAMOTO et al.			
	5 9 2 4 0 8 3	7/1999	SILVERMAN et al.			
	5 9 0 5 2 4 8	5/1999	RUSSELL et al.			
	5 7 8 7 4 0 2	7/1998	POTTER et al.			
	5 5 5 7 7 9 8	9/1996	SKEEN et al.			
	5 2 5 7 3 6 9	10/1993	SKEEN et al.			
	5 2 8 7 7 8 7	2/1994	SATOSHI			
AK	5 2 7 0 9 2 2	12/1993	HIGGINS			

Examiner AK Date Considered 11/21/02

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

OIPE JC181 MAR 30 2001 PATENT & TRADEMARK OFFICE

APPLICANT'S ART CITATION (Use several sheets if necessary)	Application 09/603,515	OFGS File No. P/3879-12
	Applicant MILLS et al.	
	Filing Date 6/23/00	Group Art Unit --

FOREIGN PATENT DOCUMENTS

	Document Number	Date	Country	Class	Sub-class	Translation Yes	Translation No
KC	0 907 134	4/1999	EUROPE (in German)			Abst	
	0 434 224	6/1991	EUROPE (in English)			n/a	
	0 818 746	1/1998	EUROPE (in German)			Abst	
	0 893 758	1/1999	EUROPE (in English)			n/a	
	0 798 635	10/1997	EUROPE (in English)			n/a	
	0 485 252	5/1992	EUROPE (in English)			n/a	
	93/ 15467	8/1993	WO/PCT (in English)			n/a	
	0 512 702	11/1992	EUROPE (in English)			n/a	
	2 282 246	3/1995	UK (in English)			n/a	
	2 180 380	3/1987	UK (in English)			n/a	
	2 210 710	6/1989	UK (in English)			n/a	
	2 165 416	4/1986	UK (in English)			n/a	
	2 325 132	11/1998	UK (in English)			n/a	
	2 325 626	12/1998	UK (in English)			n/a	
	1 489 574	10/1977	UK (in English)			n/a	
	2 547 327	9/1984	FRANCE (in French)			Abst	
	97/ 45802	12/1997	WO/PCT (in English)			n/a	
	97/ 43727	11/1997	WO/PCT (in English)			n/a	
	99/ 19821	4/1999	WO/PCT (in English)			n/a	
	99/ 14695	3/1999	WO/PCT (in English)			n/a	
KC	99/ 50771	10/1999	WO/PCT (in English)			n/a	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Examiner [signature] Date Considered 11/20/02

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

MAR 3 0 2001
PATENT & TRADEMARK OFFICE

APPLICANT'S ART CITATION

(Use several sheets if necessary)

Application 09/603,515	OFGS File No. P/3879-12
Applicant MILLS et al.	
Filing Date 6/23/00	Group Art Unit --

FOREIGN PATENT DOCUMENTS

	Document Number	Date	Country	Class	Sub-class	Translation Yes	Translation No
AK	99/416905	8/1999	WO/PCT (in English)			n/a	
	99/108155	3/1999	WO/PCT (in English)			n/a	
	99/019383	1/1999	WO/PCT (in French)			Abst	
	98/385588	9/1998	WO/PCT (in English)			n/a	
	98/240410	6/1998	WO/PCT (in English)			n/a	
	97/362532	10/1997	WO/PCT (in English)			n/a	
	97/332151	9/1997	WO/PCT (in English)			n/a	
	97/313222	8/1997	WO/PCT (in English)			n/a	
	96/189634	6/1996	WO/PCT (in English)			n/a	
	95/184181	7/1995	WO/PCT (in English)			n/a	
	99/405026	8/1999	WO/PCT (in English)			n/a	
	99/368752	7/1999	WO/PCT (in English)			n/a	
	99/332422	7/1999	WO/PCT (in English)			n/a	
	99/107955	3/1999	WO/PCT (in English)			n/a	
	99/355833	7/1999	WO/PCT (in English)			n/a	
	95/302211	11/1995	WO/PCT (in English)			n/a	
	99/084192	2/1999	WO/PCT (in English)			n/a	
	98/496355	11/1998	WO/PCT (in English)			n/a	
	98/472688	10/1998	WO/PCT (in English)			n/a	
	98/137966	4/1998	WO/PCT (in English)			n/a	
	98/050111	2/1998	WO/PCT (in English)			n/a	
	97/490502	12/1997	WO/PCT (in English)			n/a	
AK	94/152904	7/1994	WO/PCT (in English)			n/a	

Examiner [signature] Date Considered 11/21/02

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.

PATENT & TRADEMARK OFFICE
MAR 30 2001

APPLICANT'S ART CITATION (Use several sheets if necessary)	Application 09/603,515	OFGS File No. P/3879-12
	Applicant MILLS et al.	
	Filing Date 6/23/00	Group Art Unit --

FOREIGN PATENT DOCUMENTS

	Document Number	Date	Country	Class	Sub-class	Translation	
						Yes	No
AM	90/023823	3/1990	WO/PCT (in English)			n/a	
	98/535815	11/1998	WO/PCT (in English)			n/a	
	98/364566	8/1998	WO/PCT (in English)			n/a	
	92/151747	9/1992	WO/PCT (in English)			n/a	
	92/073244	4/1992	WO/PCT (in English)			n/a	
	97/220720	6/1997	WO/PCT (in English)			n/a	
	98/263446	6/1998	WO/PCT (in English)			n/a	
	97/248348	7/1997	WO/PCT (in English)			n/a	
	96/345357	10/1996	WO/PCT (in English)			n/a	
	95/069189	3/1995	WO/PCT (in English)			n/a	
	98/263633	6/1998	WO/PCT (in English)			n/a	
	99/274774	6/1999	WO/PCT (in English)			n/a	
	98/496397	11/1998	WO/PCT (in English)			n/a	
AM	98/216677	5/1998	WO/PCT (in English)			n/a	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

AM		Mini Computer forum, Conference Proceedings, 1975.
		Wall Street Computer Review, 1998.
		Computers in the City, Conference Proceedings, 1988.
AM		Banking Technology, 1988, Vol. 5, No. 5.

Examiner [signature] Date Considered 11/21/02

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.